

01/22/99



PTO/SB/05 (12/97)

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Approved for through 09/30/00. OMB 0651-0032

Patent and Trademark Office: DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|   |                |             |     |
|---|----------------|-------------|-----|
| Attorney Docket No.   | 19010-717      | Total Pages | 157 |
| First Named Inventor or Application Identifier                    |                |             |     |
| Douglas L. PECKOVER, "Intelligent Agents for Electronic Commerce" |                |             |     |
| Express Mail Label No.  | EM089310916 US |             |     |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents

Box Patent Application

Washington, DC 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 101]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (37 CFR 1.152) [Total Sheets 46]
4. ☒ Oath or Declaration [Total Pages 2]
- a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which  
a copy of the oath or declaration is supplied under Box 4b,  
is considered as being part of the disclosure of the  
accompanying application and is hereby incorporated by  
reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies
8. ☒ Assignment Papers (cover sheet & documents(s))
9. ☐ 37 CFR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure [ ] Copies of IDS  
Statement (IDS)PTO-1449 [ ] Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☒ Small Entity [X] Statement filed in prior application,  
Statement(s) [X] Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation [ ] Divisional [ ] Continuation-in-part (CIP) of prior application No. 08 / 784,829

## 16. CORRESPONDING ADDRESS

|   |           |          |  |  |  |
|---|-----------|----------|--|--|--|
| <input checked="" type="checkbox"/> Customer Number of Bar Code Label |           | 021971   |  | or <input type="checkbox"/> Correspondence address below |  |
| Insert Customer No. or Attach bar code label here)                    |           |          |  |  |  |
| NAME  |           |          |  |  |  |
| ADDRESS   |           |          |  |  |  |
| CITY  | STATE     | ZIP CODE |  |  |  |
| COUNTRY   | TELEPHONE | FAX      |  |  |  |

SUBMITTED BY

Typed or

Printed Name

Kent B. Richardson

Signature

Reg. Number 39,443Date January 22, 1999

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**FEE TRANSMITTAL**

Note: Effective December 8, 1998  
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 420.00

**Complete if Known**

Application Number Unassigned  
Filing Date Herewith  
First Named Inventor Douglas L. PECKOVER  
Group Art Unit Unknown  
Examiner Name Unknown  
Attorney Docket Number 19010-717

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 23-2415 (19010-717)

Deposit Account Name Wilson Sonsini Goodrich & Rosati

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☐ Check ☐ Money Order ☒ Other

**FEE CALCULATION****1. FILING FEE**

| Large Fee Code           | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid      |
|--------------------------|-----------------|----------------|-----------------|------------------------|---------------|
| 101                      | 760             | 201            | 380             | Utility filing fee     | 380.00        |
| 106                      | 310             | 206            | 155             | Design filing fee      |               |
| 107                      | 480             | 207            | 240             | Plant filing fee       |               |
| 108                      | 760             | 208            | 380             | Reissue filing fee     |               |
| 114                      | 150             | 214            | 75              | Provisional filing fee |               |
| <b>SUBTOTAL (1) (\$)</b> |                 |                |                 |                        | <b>380.00</b> |

**2. CLAIMS**


| Total Claims              | Extra | Fee from below | Fee Paid |
|---------------------------|-------|----------------|----------|
| 1 - 20 =                  | 0 X   | 9 =            | 0.00     |
| 1 - 3 =                   | 0 X   | 39 =           | 0.00     |
| Multiple Dependent Claims | 0 X   | 130 =          | 0.00     |

| Large Fee Code           | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   | Fee Paid    |
|--------------------------|-----------------|----------------|-----------------|---|-------------|
| 103                      | 18              | 203            | 9               | Claims in excess of 20                                  |             |
| 102                      | 78              | 202            | 39              | Independent claims in excess of 3                       |             |
| 104                      | 260             | 204            | 130             | Multiple dependent claim                                |             |
| 109                      | 78              | 209            | 39              | Reissue independent claims over original patent         |             |
| 110                      | 18              | 210            | 9               | Reissue claims in excess of 20 and over original patent |             |
| <b>SUBTOTAL (2) (\$)</b> |                 |                |                 |   | <b>0.00</b> |

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Fee Code  | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid     |
|---|-----------------|----------------|-----------------|--|--------------|
| 105   | 130             | 205            | 65              | Surcharge - late filing fee or oath  |              |
| 127   | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     |              |
| 139   | 130             | 139            | 130             | Non-English specification  |              |
| 147   | 2,520           | 147            | 2,520           | For filing a request for reexamination                                     |              |
| 112   | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                     |              |
| 113   | 1,840*          | 113            | 1,840*          | Requesting publication of SIR after Examiner action                        |              |
| 115   | 110             | 215            | 55              | Extension for reply within first month                                     |              |
| 116   | 380             | 216            | 190             | Extension for reply within second month                                    |              |
| 117   | 870             | 217            | 435             | Extension for reply within third month                                     |              |
| 118   | 1,360           | 218            | 680             | Extension for reply within fourth month                                    |              |
| 128   | 1,850           | 228            | 925             | Extension for reply within fifth month                                     |              |
| 119   | 300             | 219            | 150             | Notice of Appeal   |              |
| 120   | 300             | 220            | 150             | Filing a brief in support of an appeal                                     |              |
| 121   | 260             | 221            | 130             | Request for oral hearing   |              |
| 138   | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              |              |
| 140   | 110             | 240            | 55              | Petition to revive - unavoidable   |              |
| 141   | 1,210           | 241            | 605             | Petition to revive - unintentional   |              |
| 142   | 1,210           | 242            | 605             | Utility issue fee (or reissue)   |              |
| 143   | 430             | 243            | 215             | Design issue fee   |              |
| 144   | 580             | 244            | 290             | Plant issue fee  |              |
| 122   | 130             | 122            | 130             | Petitions to the Commissioner  |              |
| 123   | 50              | 123            | 50              | Petitions related to provisional applications                              |              |
| 126   | 240             | 126            | 240             | Submission of Information Disclosure Stmt                                  |              |
| 581   | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) | 40.00        |
| 146   | 790             | 246            | 395             | Filing a submission after final rejection (37 CFR 1.129(a))                |              |
| 149   | 760             | 249            | 380             | For each additional invention to be examined (37 CFR 1.129(b))             |              |
| Other fee (specify) 25 Request for Corrected Filing Receipt |                 |                |                 |  |              |
| Other fee (specify)   |                 |                |                 |  |              |
| * Reduced by Basic Filing Fee Paid                          |                 |                |                 |  |              |
| <b>SUBTOTAL (3) (\$)</b>                                    |                 |                |                 |  | <b>40.00</b> |

**SUBMITTED BY**

|                       |   |                         |                     |
|-----------------------|---|-------------------------|---------------------|
| Typed or Printed Name | Kent R. Richardson  | Reg. Number             | 39,443              |
| Signature             |  | Date                    | Jan. 22, 1999       |
|                       |   | Deposit Account User ID | 23-2415 (19010-717) |

**Complete (if applicable)**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.